

INSTRUCTIONS FOR FILING A COMPLAINT

The purpose of this complaint form is to alert the Michigan Division of Securities to potential violations of the Michigan Uniform Securities Act. Please fill out the Complaint Form as completely as possible to enable us to properly assess your situation. If you have any questions concerning your complaint or the form, please feel free to contact the Enforcement Section at (517) 241-6480.

Before filling out the attached complaint form, please take the time to read these instructions; they will help you understand our functions, and we will be better able to understand and act on your complaint.

WHAT WE CAN DO

- We investigate complaints against persons and business entities accused of violating the registration and antifraud provisions of the Michigan Uniform Securities Act. We are empowered to bring administrative actions to stop the violations, and, in appropriate cases, to refer matters to the Department of Attorney General for civil actions or criminal prosecution.
- The Michigan Uniform Securities Act regulates the sale of securities in or from Michigan and requires the registration of securities industry professionals (broker-dealers, agents and investment advisers). If you have a problem relating to the purchase or sale of a security, we may be able to assist with a resolution of the problem; however, please note the limitations on our authority to take action described below.

WHAT WE CANNOT DO

- We cannot act as a court of law, so we cannot order that monies be refunded, contracts be cancelled, damages be awarded, etc. If you have this type of problem you should consult an attorney.
- We cannot act as your attorney.
- We cannot take action in matters involving the internal affairs of a business entity. We only have jurisdiction over the offer, sale or purchase of securities, not over the way business is being conducted except in the case of securities industry professionals (broker-dealers, agent and investment advisers).

HOW YOU CAN HELP US

- Summarize your complaint using these guidelines: include how you first learned of the investment (advertisement, personal contact).

- Tell us WHAT happened. Start from the beginning. Be specific as to what was said and who said it.
- Tell us WHO was present during these conversations or acts.
- Tell us WHEN and WHERE these conversations/acts took place.
- Tell us WHEN and WHERE the money and agreements changed hands.
- Tell us HOW you know the representations were false or HOW you know your money was misused.
- Attach photocopies of all documents such as contracts, agreements, certificates, notes, trust deeds, correspondence, legible copies of the front and back of checks involved, prospectus, advertising, etc. **Documentary evidence is especially important. Please do not send originals; we cannot be responsible for their safekeeping.**
- Type or print clearly in ink.
- Complete pages 3 through 8 and mail the form along with supporting documents to:

Office of Financial and Insurance Services
Division of Securities
P.O. Box 30701
Lansing, MI 48909-8201